

6 March 2014



Australian Government
Australian Skills Quality Authority

Mr Mark Costello
Director
Asset Training Australia Pty Ltd
PO Box 350
MANGO HILL QLD 4509

RTO ID: 317118
Application No: 1046143
Audit No: 1004924

Dear Mr Costello

Re: Outcome of renewal of registration application—granted

I refer to your application to renew your registration as a national VET regulator (NVR) registered training organisation (RTO).

In accordance with the provisions of the *National Vocational Education and Training Regulator Act 2011* (the Act), your application for registration has been granted. A copy of the final audit report is attached for your reference.

The National Register has been updated to include the following key details of your organisation:

Legal name:	Asset Training Australia Pty Ltd
Trading name:	Asset Training Australia
RTO ID number:	31718

Period of registration

Your organisation has been granted registration for a period of 5 years which commenced on 1 September 2013 and is due to expire on 31 August 2018. A Certificate of Registration is attached. You can apply to the Australian Skills Quality Authority (ASQA) to renew or withdraw your organisation's registration, and timeframes and obligations apply to each process. There are also obligations on organisations that effectively cease to operate, even though they remain registered as RTOs. Further information about obligations in these circumstances is available from the [ASQA website](http://www.asqa.gov.au).

Scope of registration

The organisation's scope of registration – the vocational education and training (VET) courses that your organisation is registered to provide – is listed on the National Register. Please note that Sections 93-94 of the Act provide for the imposition of monetary penalties on RTOs that provide all or part of a VET course outside scope of registration.

If the training and assessment provided is likely to lead to students applying for a licence/recognition to operate in a relevant industry, you will need to ensure that you meet the requirements of the relevant national or state/territory regulator/s. Organisations that ASQA has formal arrangements with that may have additional requirements to be met beyond registration with ASQA before training and assessment will be recognised for industry licensing, registration or other approval can be found in the [External licensing & additional registration requirements spreadsheet](#) on the ASQA website. Please contact the relevant regulator/s to ensure you have satisfied regulatory requirements before delivery and ensure that marketing materials are accurate.

Changes to scope of registration

You must apply to ASQA if your organisation wishes to change its scope of registration by either adding or removing a VET course. Information on the process to make changes to your scope of registration is available from the [ASQA website](#).

RTO ID number

You **must** quote your organisation's RTO ID number in all future correspondence with ASQA. This number **must** also be included on the qualifications and statements of attainment that you issue and the marketing materials that you use as an RTO.

Maintaining compliance

I wish to remind you that you have signed a statutory declaration in which you have accepted responsibility for ensuring compliance with the VET Quality Framework. This framework comprises the following components:

- the Standards for NVR Registered Training Organisations
- the Australian Qualifications Framework
- the Fit and Proper Person Requirements of the Act
- the Financial Viability Risk Assessment Requirements of the Act
- the Data Provision Requirements of the Act.

This is an important commitment that requires you to actively manage and monitor your RTO's activities to ensure that compliance is maintained at all times and across all of your operations.

RTO compliance is the mandated foundation upon which organisations should plan and achieve quality improvements to their training and assessment services.

ASQA fees and charges

Please refer to ASQA website for details of [fees and charges](#) that apply to your registration.

Conditions of registration

You are required to comply with the conditions of registration set out in Sections 22-28 of the Act, as well as any additional conditions that ASQA, as the national VET regulator, has imposed on your organisation's registration.



There are no additional conditions imposed on your organisation's registration.

Access documents

You may also have the right of access to further documents under the *Freedom of Information Act 1982* (www.oaic.gov.au).

Further information and assistance

If you require further information or assistance in relation to this matter, please contact the ASQA Info Line on telephone 1300 701 801.

Yours sincerely



DAVID GARNER
Regional Manager Compliance



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

Organisation's legal name	Asset Training Australia Pty Ltd
Trading name/s	Asset Training Australia
RTO number	31718
CRICOS number	n/a

AUDIT TEAM

Lead auditor	Mrs Karen Noble
Auditor/s	Mrs Judith Keller
Technical adviser/s	n/a

AUDIT DETAILS

Application number/s	1046143	
Audit number/s	1004924	
Audit reason 1	Application - renewal	
Audit reason 2	n/a	
Audit reason 3	n/a	
Activity type	Site visit	
Address of site/s visited	Suite 3, Westfield Shopping Centre, North Lakes Drive, Mango Hill QLD	
Date/s of audit	20-21 January 2013	
Organisation's contact for audit	Mr Mark Costello mark@asset.edu.au	CEO 07 3482 2758
NVR standards audited	Selected Standards for Continuing Registration: SNR 15, 16, 17, 18, 20, 22.2	



BACKGROUND

- The organisation's main focus is to provide Security Training to the security industry on a fee-for-service basis.
- The organisation accesses funding through the Certificate III Guarantee which makes up approximately 15% of its business, with the main client group for the funded qualifications being job seeker agencies.
- The organisation is structured as a head office, with franchise partners at the Gold Coast, Sunshine Coast and Townsville. The head office at North Lakes is structured with a Director, a Compliance Manager, two senior trainers and administration staff.
- The organisation partners with 'Worthwild' for its outdoor recreation training.
- At the time of audit the RTO advised its intention to offer BSB60707 Advanced Diploma of Project Management as assessment only, in line with its strategy for training and assessment which identifies RPL assessment pathway only. An email was sent to the lead auditor to advise of this intention on Monday 20 January 2014. It was noted that the organisation advised of its intention to offer the qualification as an assessment only pathway in its original application for the qualification to the Queensland Department of Education and Training, yet when the application had been approved it had been incorrectly entered as delivery and assessment.

Total number of current enrolments in RTO as at audit date:

- 349

AUDIT SAMPLE

Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
BSB20211	Certificate II in Customer Contact	Face to face	9
BSB60707	Advanced Diploma of Project Management	Assessment only	0
CPP30411	Certificate III in Security Operations	Face to face	51
CPP50611	Diploma of Security and Risk Management	Face to face	4
SIS30410	Certificate III in Outdoor Recreation	Face to face	2
TAE40110	Certificate IV in Training and Assessment	Face to face	11
CPCCOHS1001A	Work safely in the construction industry	Face to face	2
RIIOHS205A	Control traffic with stop-slow bat	Face to face	47
SITHFAB201	Provide responsible service of alcohol	Face to face	2
30864QLD	Course in implement traffic guidance schemes	Face to face	53

*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES

Name	Position	Qualification/Course/Unit code/s
Mr Mark Costello	CEO	CPP30411, CPP50611, TAE40110, SITHFAB201
Mr Ben Klatt	RTO Compliance Manager	TAE40110



Mr Max Tilyard	Trainer/Assessor	30864QLD, RIIOHS205A
Mr Martin Worth	Trainer/Assessor, Training Partner (Worthwild)	SIS30410

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 21/01/2014: Significant non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 21/01/2014: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Compliant	n/a
SNR 17	Compliant	n/a
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Compliant	n/a
SNR 21	Not audited	n/a
SNR 22	Compliant	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not audited	n/a
SNR 25	Not audited	n/a



SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Compliant

Following rectification: n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- SIS30410 Certificate III in Outdoor Recreation
- The organisation provided its strategy for training and assessment for the above qualification.
- The strategy did not confirm that the requirements of the SIS10 Training Package would be met, as unit codes for *HLTFA311A Apply first aid* and *BSBWOR301B Organise personal work priorities and development* had been incorrectly recorded.
- *At the time of audit, the organisation amended its training and assessment strategy for SIS30410 Certificate III in Outdoor Recreation to reflect the current unit codes. No further evidence is required.*

15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.

Original finding: Not audited

Following rectification: n/a

Reasons for finding of non-compliance:

SITHFAB201 Provide responsible service of alcohol

- For the above unit of competency, the non-compliances identified in SNR 15.4 confirm the staff to be used by the organisation do not meet the requirements of the SIT10 Training Package and the applicant's own training and assessment strategies.
- *At the time of audit, the organisation provided evidence to satisfactorily address the non-compliances identified in SNR 15.4, which confirm the staff to be used by the organisation meet the requirements of the SIT10 Training Package and the applicant's own training and assessment strategies. No further evidence is required.*

CPP30411 Certificate III in Security Operations

TAE40110 Certificate IV in Training and Assessment

30864QLD Course in Implement Traffic Guidance Schemes

R11OHS205A Control traffic with a stop-slow bat

- For the above qualifications and unit of competency, the non-compliances identified in SNR 15.5 confirm assessment materials to be used by the organisation do not meet the requirements of the respective Training Package and the applicant's own training and assessment strategies.
- *At the time of audit, the organisation provided evidence to satisfactorily address the non-compliances identified in SNR 15.5, which demonstrates the organisation has assessment materials that meet the requirements of the respective Training Packages and the applicant's own training and assessment strategies. No further evidence is required.*



- 15.4 Training and assessment is delivered by trainers and assessors who:**
- (a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and**
 - (b) have the relevant vocational competencies at least to the level being delivered or assessed; and**
 - (c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and**
 - (d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- Evidence provided did not demonstrate that its trainer/assessors, Mr Lee Haslett and Mr Mark Costello, have the necessary industry experience relevant to the unit *SITHFAB201 Provide responsible service of alcohol*. Although Mr Haslett and Mr Costello have extensive experience in the security aspect of the unit of competency, the specific requirements of service of alcohol could not be demonstrated.
- *At the time of audit, the organisation proposed an alternate trainer, Ms Natasha Gunn, who holds extensive experience in the service of alcohol, but does not currently hold trainer/assessor competencies although is currently undertaking study in the qualification TAE40110 Certificate IV in Training and Assessment. The organisation identified its mechanism for co-assessment and monitoring of Ms Gunn. No further evidence is required.*

- 15.5 Assessment including Recognition of Prior Learning (RPL):**
- (a) meets the requirements of the relevant Training Package or VET accredited course; and**
 - (b) is conducted in accordance with the principles of assessment and the rules of evidence; and**
 - (c) meets workplace and, where relevant, regulatory requirements; and**
 - (d) is systematically validated.**

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

CPP30411 Certificate III in Security Operations

CPPSEC3050A Load and unload cash in transit in an unsecured environment

- Assessment tools provided did not ensure that assessment would meet the requirements of the CPP11 Training Package, in particular, the required knowledge. The knowledge of licencing and legal requirements for the use and handling of firearms was not addressed through the assessment tools provided.
- *At the time of audit, the organisation provided amended assessment tools which address the knowledge requirements of the unit of CPP11 Training Package. No further evidence is required.*

TAE40110 Certificate IV in Training and Assessment

- *TAEDEL401A Plan, organise and deliver group-based learning*
- *TAEASS402B Assess competence*
- Assessment tools provided did not ensure that assessment would meet the requirements of the TAE10 Training Package. Where an observation checklist was identified to record evidence of practical tasks, the checklist was a copy of the performance criteria and, as such, did not provide specific details of the tasks to be performed, or provide sufficient guidance to the assessor as to the volume and type of evidence required to be presented for a demonstration of competence in the above units of competency.
- *At the time of audit, the observation checklist was updated to include specific details of the tasks to be performed and provided guidance to the assessor as to the volume and type of evidence required to be presented for a demonstration of competence. No further evidence is*



required.

30864QLD Course in Implement Traffic Guidance Schemes

QLD330TGS01A Implement Traffic Guidance Schemes

- Assessment tools provided did not ensure that assessment would meet the requirements of the course. The scenario provided for the practical tasks identified that it may be modified to suit requirements, but no guidance was provided to the trainer/assessor as to the types of modifications that would be possible to meet the requirements of the course. Through discussion the organisation identified that if the task is modified, it would deem assessment non-competent. Therefore the instructions do not ensure that the practical task will meet the requirements of the unit of competency.
- *At the time of audit, the scenario was modified to identify a more rigid structure to ensure the requirements of the unit of competency would be addressed. No further evidence is required.*

RIIOHS205A Control traffic with a stop-slow bat

- Assessment tools provided did not ensure the requirements of the unit of competency would be addressed, in particular, the required skills and knowledge. The organisation utilised the third party evidence checklist provided by the Department of Transport and Main Roads to provide evidence of consistent application of practical skills. The third party evidence checklist does not provide guidance for the third party as to what a competent person looks like or what skills they need to observe.
- *At the time of audit, the organisation provided additional instructions for the third party to ensure that sufficient guidance is provided as to the competency requirements. No further evidence is required.*

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:	
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.	
	Original finding: Compliant	Following rectification: n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.	
	Original finding: Compliant	Following rectification: n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.	
	Original finding: Compliant	Following rectification: n/a
16.4	Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.	
	Original finding: Compliant	Following rectification: n/a
16.5	Learners receive training, assessment and support services that meet their individual needs.	
	Original finding: Compliant	Following rectification: n/a



16.6	Learners have timely access to current and accurate records of their participation and progress.	Original finding: Compliant	Following rectification: n/a
16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.	Original finding: Compliant	Following rectification: n/a
SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:			
17.1	The NVR registered training organisation's management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.	Original finding: Compliant	Following rectification: n/a
17.2	The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.	Original finding: Compliant	Following rectification: n/a
17.3	The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.	Original finding: Compliant	Following rectification: n/a
17.4	The NVR registered training organisation manages records to ensure their accuracy and integrity.	Original finding: Compliant	Following rectification: n/a
SNR 18 The NVR registered training organisation has governance arrangements in place as follows:			
18.1	The NVR registered training organisation's Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation's scope of registration, as listed on the National Register.	Original finding: Not compliant	Following rectification: Compliant
<i>Reasons for finding of non-compliance:</i>			
<ul style="list-style-type: none">• As non-compliances were identified during the audit process, the organisation's Chief Executive had not ensured the organisation has complied with the VET Quality Framework.• <i>At the time of audit, the organisation provided evidence to satisfactorily address the non-compliances identified, which demonstrates the organisation's Chief Executive has ensured the organisation complies with the VET Quality Framework. No further evidence is required.</i>			



18.2	The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.
Original finding: Compliant	Following rectification: n/a

SNR 19 Interactions with the National VET Regulator

19.1	The NVR registered training organisation must co-operate with the National VET Regulator: (a) in the conduct of audits and the monitoring of its operations; (b) by providing accurate and timely data relevant to measures of its performance; (c) by providing information about significant changes by its operations; (d) by providing information about significant changes to its ownership; and (e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.
Original finding: Not audited	Following rectification: n/a

SNR 20 Compliance with legislation

20.1	The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.
Original finding: Compliant	Following rectification: n/a

20.2	The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.
Original finding: Compliant	Following rectification: n/a

SNR 21 Insurance

21.1	The NVR registered training organisation must hold public liability insurance throughout its registration period.
Original finding: Not audited	Following rectification: n/a

SNR 22 Financial management

22.1	The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.
Original finding: Not audited	Following rectification: n/a

22.2	The NVR registered training organisation must provide the following fee information to
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each client:

- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
- (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
- (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
- (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
- (e) the organisation's refund policy.

Original finding: Compliant

Following rectification: n/a

- 22.3** Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:
- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
 - (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;
 - (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
 - (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
 - (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Not audited

Following rectification: n/a

SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

- 23.1** The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
- (a) meets the Australian Qualifications Framework (AQF) requirements;
 - (b) identifies the NVR registered training organisation by its national provider number from the National Register and
 - (c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not audited

Following rectification: n/a

- 23.2** The NVR registered training organisation must recognise the AQF and VET qualifications and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a



23.3	The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.
Original finding:	Not audited
Following rectification:	n/a

23.4	The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]
This element was not audited.	

23.5	The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]
This element was not audited.	

SNR 24	Accuracy and integrity of marketing
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24.1	The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.
Original finding:	Not audited
Following rectification:	n/a

24.2	The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.
Original finding:	Not audited
Following rectification:	n/a

SNR 25	Transition to Training Packages/expiry of VET accredited courses
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25.1	The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.
Original finding:	Not audited
Following rectification:	n/a

25.2	The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.
Original finding:	Not audited
Following rectification:	n/a